



County of Los Angeles
**CHIEF EXECUTIVE OFFICE
OPERATIONS CLUSTER**

SACHI A. HAMAI
Interim Chief Executive Officer

DATE: June 25, 2015
TIME: 1:00 p.m.
LOCATION: Kenneth Hahn Hall of Administration, Room 830

AGENDA

Members of the Public may address the Operations Cluster on any agenda item by submitting a written request prior to the meeting.
Three (3) minutes are allowed for each item.

1. Call to order – Gevork Simdjian
 - A) **Board Letter – AUTHORIZATION TO AMEND LOS ANGELES COUNTY CODE OF ORDINANCES TO INCLUDE THE LOS ANGELES COUNTY SMALL BUSINESS COMMISSION**
DCBA – Brian Stiger or designee
 - B) **Board Letter – APPROVAL OF AMENDMENT NO. 5 TO AGREEMENTS WITH CITIES OF LOS ANGELES AND LONG BEACH TO ACCESS COUNTY VOTER INFORMATION MANAGEMENT SYSTEM**
RR/CC – Dean Logan or designee
 - C) **Board Letter – APPROVAL OF AMENDMENT NO. 1 TO CONTRACT WITH NUÑEZ & ASSOCIATES, INC. FOR CONTINUED BUSINESS LICENSE FIELD INSPECTION SERVICES**
TTC – Joseph Kelly or designee
 - D) **Board Letter – APPROVAL OF CONTRACT FOR PARKING CITATION PROCESSING SERVICES WITH XEROX STATE & LOCAL SOLUTIONS, INC.**
LASD, CIO – Jim McDonnell and Richard Sanchez or designee(s)
 - E) **Risk Management Presentation**
RR/CC – Dean Logan or designee
2. Public Comment
3. Adjournment



Brian J. Stiger
Director

**COUNTY OF LOS ANGELES
DEPARTMENT OF
CONSUMER AND BUSINESS AFFAIRS**

Members of the Board

Hilda L. Solis
Mark Ridley-Thomas
Sheila Kuehl
Don Knabe
Michael D. Antonovich

"To Enrich Lives Through Effective and Caring Service"

July 14, 2015

The Honorable Board of Supervisors
County of Los Angeles
383 Kenneth Hahn Hall of Administration
500 West Temple Street
Los Angeles, California 90012

Dear Supervisors:

**AUTHORIZATION FOR THE DEPARTMENT OF CONSUMER AND BUSINESS
AFFAIRS TO AMEND THE LOS ANGELES COUNTY CODE OF ORDINANCES TO
INCLUDE THE LOS ANGELES COUNTY SMALL BUSINESS COMMISSION
(All Supervisorial Districts) (3 Votes)**

CIO RECOMMENDATION: APPROVE () APPROVE WITH MODIFICATION ()
DISAPPROVE ()

SUBJECT:

The Department of Consumer and Business Affairs (DCBA) requests your Board's approval to amend the Los Angeles County Code of Ordinances to incorporate the function and duties of the Los Angeles County Small Business Commission (Commission).

RECOMMENDATION THAT YOUR BOARD:

Approve and amend the Los Angeles County Code of Ordinances to codify the Commission, including the Commission's governing principles, duties, and advisory structure.

PURPOSE/JUSTIFICATION OF RECOMMENDED ACTION:

On January 13, 2015, your Board approved the transfer of the Office of Small Business (OSB) from the County's Internal Services Department (ISD) to the newly re-named DCBA. With this, your Board transferred the duties and positions within OSB to DCBA; created a new position, the Los Angeles County Small Business Concierge; and approved the transfer of the Commission from ISD to DCBA.

At the same time, your Board also instructed DCBA to report back in 90 days with an

Consumer Services
500 W. Temple Street, Room B-96 • Los Angeles, CA 90012-2706
Telephone (800) 593-8222 • (213) 974-1452
Fax (213) 687-1137 • Website: dcba.lacounty.gov

Small Business Services
1100 North Eastern Ave, Los Angeles, CA 90063
Telephone (323) 881-3964
Fax (323) 415-8521 • Website: osb.lacounty.gov

ordinance for the Commission. On March 27, 2015 DCBA requested additional time to present this proposed ordinance to your Board. The ordinance incorporates existing functions and duties of the Commission, together with any redefined, restructured or new functions or duties that DCBA recommends to assist DCBA and the Board in achieving the objectives of promoting small businesses within the County. The amended ordinance attached hereto accomplishes these objectives.

Implementation of Strategic Plan Goals:

The recommended actions support Goal 1: Operational Effectiveness and Goal 3: Integrated Services Delivery by enabling the Commission to advise the Director of DCBA, and enabling DCBA to adequately staff Commission and OSB while providing responsive and quality services.

FISCAL IMPACT/FINANCING:

Approval of these recommendations will not result in any additional net County cost.

FACTS AND PROVISIONS/LEGAL REQUIREMENTS:

The Board created the Office of Small Business Advisory Board on June 29, 1999, pursuant to Board order to provide advice and support to the Board and to help small businesses grow and do business with Los Angeles County. In a subsequent Board order on May 22, 2001, the Office of Small Business Advisory Board was structured as the Commission and has operated as such since that date. The Commission continues to review status reports and make recommendations to the Board to assist small businesses grow and conduct business with the County. The Commission also makes recommendations to the Board on issues that impact the small business community.

On December 17, 2013, the Board instructed the CEO to develop recommendations to assist small businesses in navigating through the County's procedural requirements. As a result of these recommendations, on August 12, 2014, the Board instructed the CEO, in conjunction with the Directors of the Department of Consumer Affairs (DCA) and ISD, to report back in 90 days on, among other items, the evaluation of moving the Commission under DCA or the Executive Office, including working with the Executive Officer of the Board.

On October 30, 2014, the CEO reported back with findings and recommendations to transfer the OSB and the Commission from ISD to DCA. On November 18, 2014, the Board ordered the CEO, in conjunction with DCA, to report back with recommendations to transfer the OSB and the Commission from ISD to DCBA.

Pursuant to the Board's motion on January 13, 2015, the attached proposed ordinance amends the Los Angeles County Code to codify the duties, responsibilities, and advisory capacity of the Commission.

The proposed ordinance clearly defines the role of alternate members of the Commission in order to alleviate confusion that has existed in the past. Each alternate member may attend each meeting, but will have voting rights only when replacing an absent voting member that was appointed by the Board member that appointed that alternate. Additionally, the proposed ordinance provides that alternate members may not be elected as the Chairperson or Vice Chairperson of the Commission and may not participate as members of subcommittees.

The proposed ordinance establishes that the Commission will be advisory to the DCBA Director, and through the Director, to the Board.

The proposed ordinance provides that Chapter 5.12 of the County Code shall not apply to the Commission. Therefore, a Commissioner cannot be automatically removed if they fail to attend three consecutive meetings unexcused.

IMPACT ON CURRENT SERVICES:

This proposed ordinance incorporates existing functions and duties of the Commission, together with recommended modified and restructured duties that will assist DCBA and the Board in achieving the objectives of promoting small businesses within the County. The County moved to transfer the Commission from ISD to DCBA to allow the Commission to directly advise the Director of DCBA. This ordinance change will also allow DCBA to provide seamless service to Commission.

The County can improve service to both the Commission and the Los Angeles County small business community by incorporating the attached ordinance amendments. DCBA will appropriately disseminate any ordinance changes to the Commission once amended.

CONCLUSION

Please approve the attached amendments to the Los Angeles County Code of Ordinances.

Respectfully submitted,

Brian J. Stiger, Director
Department of Consumer Affairs

Attachments

c: Chief Executive Office
County Counsel
Executive Officer, Board of Supervisors



COUNTY OF LOS ANGELES
OFFICE OF THE COUNTY COUNSEL

648 KENNETH HAHN HALL OF ADMINISTRATION
500 WEST TEMPLE STREET
LOS ANGELES, CALIFORNIA 90012-2713

MARK J. SALADINO
County Counsel

June 9, 2015

TELEPHONE
(213) 893-7230
FACSIMILE
(213) 617-7182
TDD
(213) 633-0901

Mr. Brian J. Stiger, Director
Department of Consumer Affairs
B-96 Kenneth Hahn Hall of Administration
500 West Temple Street
Los Angeles, California 90012

Attention: Kirk Shelton, Chief Deputy Director

**Re: Ordinance Amending Title 3 – Advisory Commissions and
Committees of the Los Angeles County Code Related to the
Creation of the Small Business Commission**

Dear Mr. Stiger:

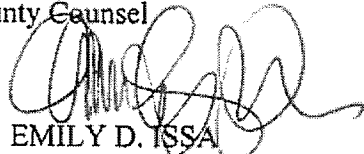
Enclosed please find the analysis and ordinance amending Title 3 –
Advisory Commissions and Committees of the Los Angeles County Code by
adding Chapter 3.12, creating the Small Business Commission.

This analysis and ordinance may be presented to the Board of Supervisors
for its consideration.

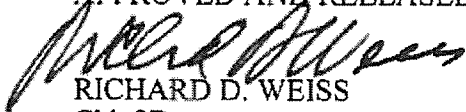
Very truly yours,

MARK J. SALADINO
County Counsel

By


EMILY D. ISSA
Senior Associate County Counsel
Government Services Division

APPROVED AND RELEASED:


RICHARD D. WEISS
Chief Deputy

EDI:mv
Enclosures

HOA.1135467.1

ANALYSIS

This ordinance amends Title 3 – Advisory Commissions and Committees of the Los Angeles County Code by adding Chapter 3.12, relating to the creation of the Small Business Commission.

MARK J. SALADINO
County Counsel

By



EMILY D. ISSA
Senior Associate County Counsel
Government Services Division

EDI:mv

2/23/2015 (Requested)
6/8/2015 (Revised)

ORDINANCE NO. _____

An ordinance amending Title 3 – Advisory Commissions and Committees of the Los Angeles County Code by adding Chapter 3.12, relating to the creation of the Small Business Commission.

The Board of Supervisors of the County of Los Angeles ordains as follows:

SECTION 1. Chapter 3.12 is hereby added to read as follows:

Chapter 3.12 – SMALL BUSINESS COMMISSION

3.12.010 Continuation—Composition.

3.12.020 Purpose.

3.12.030 Activities—Advisory Authority.

3.12.040 Duties.

3.12.050 Length of Service—Vacancy.

3.12.060 Meetings.

3.12.070 Self-Governance Procedures and Quorum.

3.12.080 Officers.

3.12.090 Staff.

3.12.100 Compensation.

3.12.110 Sunset Review Date.

3.12.010 Continuation—Composition.

A. The Los Angeles County Small Business Commission, established by order of the Board of Supervisors on June 29, 1999, which shall be referred to in this Chapter as "Commission," is continued, subject to any modifications in this Chapter.

B. The Commission shall have 20 voting members, four members appointed by each member of the Board. A member of the Commission shall be appointed to a vacant position by, and serve at the pleasure of, the Board of Supervisors, which shall be referred to in this Chapter as the "Board."

C. The Commission may have up to five alternate members, one alternate member appointed by each member of the Board. Alternate members may attend all meetings but shall have voting rights only when replacing an absent voting member that was appointed by the Board member that appointed that alternate, whether during a regular or special meeting of the Commission. Alternate members may not be elected as the Chairperson or Vice Chairperson of the Commission. Alternate members may not participate as members of subcommittees.

D. Each voting and alternate member shall be representative of the business community in Los Angeles County and have demonstrated their interest and experience in small business affairs by virtue of their education, occupation, or activities prior to appointment. Each member shall reside in Los Angeles County.

3.12.020 Purpose.

The Commission is an advisory body whose purpose is to represent the interests and concerns of the small business community of the County to the Director of the

Department of Consumer and Business Affairs, hereinafter in this Chapter referred to as the "Director," and through the Director to the Board. The Commission's highest priorities are to advise the Director and the Board on small business contract utilization in the County and small business development in unincorporated areas of the County.

3.12.030 Activities—Advisory Authority.

The Commission shall act in an advisory capacity. The authority of the Commission shall not supersede or supplant that of any County officer or department nor deprive any County officer or department of any duty or responsibility provided for by the Constitution, statutes, or the Charter or ordinances of the County, as the same now exist or as they may be hereafter amended.

3.12.040 Duties.

The Commission shall have the following duties:

- A. To ascertain the needs of the small business community;
- B. To provide an annual report to the Director relating to issues that affect the small business community in the County;
- C. To assess the need for changes in procedures, programs or legislation in order to further the interests of small businesses in the County;
- D. To assess methods for effective outreach to small businesses in the County and to increase the transparency of County contracting processes;
- E. To monitor and evaluate progress in implementing all motions adopted by the Board pertaining to the small business community; and

F. To advise, make findings and recommendations, as appropriate, and report to the Director regarding the topics identified in subsections A through E of this Section, who shall, in turn report the findings and recommendations of the Commission to the Board as appropriate.

3.12.050 Length of Service—Vacancy.

A. All members of the Commission shall serve at the pleasure of the Board.

B. All voting members and alternates who are appointed following the effective date of the ordinance adding this Chapter 3.12 shall serve terms of three years, subject to subsection A, above. Those voting members and alternates who were serving as of the effective date of the ordinance adding this Chapter 3.12 shall serve out the remainder of their then-existing terms. Notwithstanding the above, all voting members and alternates shall continue to serve until their successor has been duly appointed.

C. No voting member or alternate of the Commission may serve more than two consecutive full periods of service as specified above. The Board may, by order, extend this length of service or waive this limit for individual members or the Commission as a whole.

D. A voting member's or alternate's position on the Commission shall become vacant upon his or her death, resignation, or removal by the Board. In the case of such a vacancy, the Board shall appoint a successor to serve until the position next becomes vacant under subsection B of this Section.

E. The provisions of Chapter 5.12 of the Los Angeles County Code shall not apply to the Commission.

3.12.060 Meetings.

The Commission shall meet at least four times a year. Special meetings of the Commission may be called at the discretion of the Chairperson or by a majority of the Commission.

3.12.070 Self-Governance Procedures and Quorum.

The Commission shall, in conjunction with the Director, prepare and adopt rules and procedures for the internal governance of its business provided that such rules and regulations are not inconsistent with this Chapter or any other applicable ordinance or statute. A majority of the voting members, including any alternates who are replacing a voting member as provided for in Section 3.12.010 (C), will constitute a quorum, and a majority vote of the voting members and any replacing alternates present is required to approve any item before the Commission.

3.12.080 Officers.

The Commission shall elect a Chairperson and Vice Chairperson during the January Commission meeting. The term of office of such officers shall be for a calendar year but shall not exceed the remaining tenure of the member elected if such tenure is less than a year.

3.12.090 Staff.

The Commission shall be staffed by employees of the Department of Consumer and Business Affairs as designated by the Director.

3.12.100 Compensation.

Each member of the Commission shall serve without compensation.

3.12.110 Sunset Review Date.

The sunset review date for the Commission shall be April 30, 2019.

[CH312EICC]



Los Angeles County Registrar-Recorder/County Clerk

Dean C. Logan
Registrar-Recorder/County Clerk

July 7, 2015

The Honorable Board of Supervisors
County of Los Angeles
383 Kenneth Hahn Hall of Administration
500 West Temple Street
Los Angeles, California 90012

Dear Supervisors:

**APPROVE AMENDMENT NUMBER FIVE TO THE AGREEMENTS WITH THE CITY OF
LOS ANGELES AND THE CITY OF LONG BEACH FOR CONTINUED ON-LINE
ACCESS TO COUNTY
VOTER INFORMATION MANAGEMENT SYSTEM
(ALL DISTRICTS) (3 VOTES)**

SUBJECT:

Request Board approval to execute Amendments Number Five to agreements (Agreements) with the City of Los Angeles (LA City) and the City of Long Beach (LB City) for continued on-line access to the County's Voter Information Management System (VIMS). Both Amendments extend the Agreement terms from August 9, 2015 through May 9, 2018 with six month-to-month options to renew in order for these Agreements to continue concurrently with Los Angeles County's Agreement Number 76010 with Data Information Management Systems, LLC (DIMS) for VIMS database maintenance and support services.

IT IS RECOMMENDED THAT YOUR BOARD:

1. Authorize the Registrar-Recorder/County Clerk (RR/CC), or designee, to execute Amendment Number Five to the Agreement with LA City for continued on-line access to the County's VIMS, at no cost, for an additional term to begin on August 9, 2015 and to continue concurrently with Los Angeles County's Agreement Number 76010 with DIMS, which expires on May 9, 2018, and may be extended for six (6) month-to-month renewal options.
2. Authorize the RR/CC, or designee, to execute Amendment Number Five to the Agreement with LB City for continued on-line access to the County's VIMS, at no cost, for an additional term to begin on August 9, 2015 and to continue concurrently

with Los Angeles County's Agreement Number 76010 with DIMS, which expires on May 9, 2018, and may be extended for six (6) month-to-month renewal options.

3. Authorize the RR/CC, or designee, to amend either or both Agreements as changes become necessary provided that County Counsel approval is obtained prior to executing such amendments.
4. Authorize the RR/CC, or designee, to terminate either or both Agreements upon giving the other party 90 days advance notice in accordance with the provisions set forth in both Agreements.

PURPOSE/ JUSTIFICATION OF RECOMMENDED ACTION:

The purpose of the recommended action is to continue to provide LA City and LB City with on-line access to VIMS, the voter registration database which contains all information for the County's 6.3 million registered voters. The VIMS database forms the basis for establishing and maintaining the precincting of voters, the absentee voting system, verifying petitions, and maintaining poll workers and voting location files. VIMS is not involved in tabulation of ballots. The VIMS' client-server platform enabled partnerships with the City of Los Angeles and the City of Long Beach, which has helped to improve the quality of the voter data and poll worker and polling place data used by all jurisdictions. Thus, critical information is ready and available to conduct federal, State, local and special elections as needed.

Implementation of Strategic Plan Goals:

This request supports the County Strategic Plan as follows:

Goal No. 1, Operational Effectiveness: The Agreements will allow LA City and LB City continued on-line access to VIMS. The City Clerks of both of these jurisdictions, which conduct their own city elections, have reported improved election administration in their cities as a result of the ability to utilize VIMS functionality on-line.

FISCAL IMPACT/ FINANCING:

RR/CC has statutory responsibility for maintaining voter information and related services. RR/CC does not incur any additional expense as a result of providing LA City and LB City with on-line access to the VIMS database. Since there is no cost recovery involved, and as a professional courtesy to these governmental entities, RR/CC will not charge for on-line access to VIMS. LA City and LB City are responsible for all their expenses including equipment, software needs as well as communication and data lines. Thus, these Agreements will not negatively affect the County budget.

The Agreements also provide that in the event of any needed enhancements required for optimal VIMS performance, LA City and LB City may be assessed a portion of the related cost.

FACTS AND PROVISIONS/LEGAL REQUIREMENTS:

RR/CC is responsible for the registration of voters, maintenance of the voter file, precincting, absentee voting, petitions, precinct officers and polling location files, and the conduct of federal, State, and special elections that affect Los Angeles County as a whole. In May 1998 your Board authorized an agreement to grant full on-line access to VIMS for LA City and likewise on December 16, 2003 for LB City. The cities paid the County \$500,000 and \$67,114, respectively, as part of the VIMS purchase and installation costs, in return for on-line access to the VIMS database. In February of 2007, your Board, once again, granted the RR/CC authority to execute agreements with LA City and LB City for their continued on-line access to the VIMS database. If all options are exercised, these Agreements will expire on August 8, 2015.

On May 5, 2015, your Board approved Amendment Eight to the County's Agreement Number 76010 which extended the term of the existing Agreement with DIMS for continued maintenance and support services to VIMS. This approved extension allows the RR/CC to continue to offer on-line VIMS access to both LA City and LB City throughout the duration of the above-referenced DIMS Agreement.

The Chief Executive Office has reviewed and approved this Board letter. County Counsel has approved the attached Amendment Number Five as to form.

CONTRACTING PROCESS:

There was no contracting process associated with the recommended Amendment Number Five to the existing Agreements.

IMPACT ON CURRENT SERVICES:

Approval of the recommended Agreements will ensure uninterrupted on-line access to VIMS to LA City and LB City and cultivate partnerships with the cities in improving the quality of voter data, and pollworker and polling place data used by all jurisdictions.

CONCLUSION

Upon approval by your Board, the Executive Officer is requested to return one (1) adopted copy of this letter to:

Department of Registrar-Recorder/County Clerk
Finance and Management Division
12400 Imperial Highway, Suite 5115, Norwalk, CA 90650
Attention: Dushyant Bala, Contracts Manager
Email: dbala@rrcc.lacounty.gov Phone: 562-462-2905

Respectfully submitted,

DEAN C. LOGAN
Registrar-Recorder/County Clerk

DCL:RF:FP
DB:cp

Attachments (2)

c: Chief Executive Officer
County Counsel
Executive Officer, Board of Supervisors



JOSEPH KELLY
TREASURER AND TAX COLLECTOR

COUNTY OF LOS ANGELES TREASURER AND TAX COLLECTOR

KENNETH HAHN HALL OF ADMINISTRATION
500 WEST TEMPLE STREET, ROOM 437
LOS ANGELES, CALIFORNIA 90012
TELEPHONE: (213) 974-2101 FAX: (213) 626-1812



HOME PAGE
TTC.LACOUNTY.GOV

PROPERTY TAX PORTAL
LACOUNTYPROPERTYTAX.COM

July 14, 2015

The Honorable Board of Supervisors
County of Los Angeles
383 Kenneth Hahn Hall of Administration
500 West Temple Street
Los Angeles, CA 90012

Dear Supervisors:

**TREASURER AND TAX COLLECTOR
RECOMMENDATION TO APPROVE AMENDMENT NUMBER ONE
TO CONTRACT NUMBER 77201 WITH NUÑEZ & ASSOCIATES, INC. FOR
CONTINUED BUSINESS LICENSE FIELD INSPECTION SERVICES
(ALL DISTRICTS - 3 VOTES)**

SUBJECT

The Treasurer and Tax Collector (TTC) is recommending approval of Amendment Number One (Amendment) to Contract Number 77201 (Contract) with Nuñez & Associates, Inc. (Nuñez) to extend the current term of the Business License Field Inspection Services Contract on a month-to-month basis for a period not to exceed nine months in order to complete the re-solicitation process.

IT IS RECOMMENDED THAT YOUR BOARD:

1. Approve and instruct the Mayor to sign the attached Amendment to the Contract with Nuñez to extend the Contract Term through May 2, 2016, on a month-to-month basis to enable the TTC to continue receiving Business License Field Inspection Services, with a maximum Contract Amendment sum not to exceed \$110,000, commencing on August 3, 2015, or the date of the Board of Supervisors' (Board) approval, whichever is later.
2. Delegate authority to the Treasurer and Tax Collector or his designee to terminate the Contract in accordance with the terms defined in the Contract prior to the expiration of the maximum term of this Amendment.

PURPOSE/JUSTIFICATION OF RECOMMENDED ACTION

Title 7 of the County of Los Angeles (County) Code requires persons conducting, engaging in, and managing specified types of business activities in the unincorporated areas of the County to obtain a business license and observe certain regulations pertaining to those business activities. The TTC currently contracts with Nuñez, a private agency, to provide field inspection services to determine if businesses have current valid business licenses and are in operational compliance with the County Code requirements. The TTC has contracted for the provision of Business License Field Inspection Services since 1989.

On December 15, 2009, your Board approved a Contract with Nuñez for Business License Field Inspection Services. The Contract is to expire on August 2, 2015. Additional time is necessary for the TTC to conclude the competitive solicitation process. This term extension will allow the contractor to continue services while the TTC concludes the solicitation process.

Implementation of Strategic Plan Goals

The approval of this Amendment is consistent with the Strategic Plan Goal of Operational Effectiveness/Fiscal Sustainability. The recommended Amendment provides for ongoing contractual Business License Field Inspection Services which supports mandated operations of the TTC.

FISCAL IMPACT/FINANCING

The maximum Amendment Contract Sum is \$110,000. Funding is included in the TTC's Fiscal Year 2015-16 Proposed Budget.

FACTS AND PROVISIONS/LEGAL REQUIREMENTS

Pursuant to Government Code 31000, the Board is authorized to contract for special services.

On December 15, 2009, your Board approved Contract Number 77201 with Nuñez for Business License Field Inspection Services to commence on February 3, 2010. Pursuant to the delegated authority approved by your Board, the TTC subsequently extended the Contract for four one-year terms from February 3, 2011, through February 2, 2015, and then extended the Contract for six month-to-month extensions from February 3, 2015, through August 2, 2015.

The TTC will not ask Nuñez to perform services that exceed the Contract Sum, scope of work, or go beyond the Term of the Contract extension. The TTC will request Nuñez to notify the TTC when it has incurred 75 percent of the total Contract Sum. The Contract expressly provides that the County does not have an obligation to pay for expenditures by

The Honorable Board of Supervisors
July 14, 2015
Page 3

Núñez that exceed the maximum Contract Sum. Additionally, the Contract contains performance standards, including liquidated damages for substandard and/or non-performance.

No layoffs or reductions in County workforce or other adverse impact on employee relations will result from the Amendment, as the work is presently being performed under a Board approved Contract.

The recommended Amendment (Attachment I) contains new required provisions pertaining to compliance with the Cancellation of or Changes in Insurance and Time Off for Voting. The Amendment has been reviewed and approved as to form by County Counsel.

The Contract contains all Board and legally required provisions.

CONTRACTING PROCESS

Approval of the Board letter to extend the Term of the Contract, which will expire on August 2, 2015, will allow the continuation of services until the pending RFP solicitation process concludes. Upon implementation of services by the awarded contractor, the TTC will terminate the existing Business License Field Inspection Services Contract.

IMPACT ON CURRENT SERVICES

Approval of the Amendment will ensure uninterrupted Business License Field Inspection Services for the TTC until such time as your Board approves the new Contract.

Respectfully submitted,

JOSEPH KELLY
Treasurer and Tax Collector

JK:KK:KEG:EVT:

SE:lc:ca

BLFIS Board Ltr - Amnd 1 Draft 6-16-15 (clean) pre-final evt kk jk

Attachment (1)

c: Interim Chief Executive Officer
County Counsel
Acting Executive Officer, Board of Supervisors

July 14, 2015

The Honorable Board of Supervisors
County of Los Angeles
383 Kenneth Hahn Hall of Administration
Los Angeles, California 90012

Dear Supervisors:

**APPROVE CONTRACT FOR PARKING CITATION PROCESSING SERVICES
WITH XEROX STATE & LOCAL SOLUTIONS, INC.
(ALL DISTRICTS) (3 VOTES)**

**CIO RECOMMENDATION: APPROVE (X) APPROVE WITH MODIFICATION ()
DISAPPROVE ()**

SUBJECT

The Los Angeles County (County) Sheriff's Department (Department) is seeking approval of a Contract with Xerox State & Local Solutions, Inc. (Xerox) to provide parking citation processing services to the Los Angeles County Sheriff's Department (Sheriff). The services will enable the Department to continue the collection and processing of parking citations in the unincorporated areas of Los Angeles County.

IT IS RECOMMENDED THAT THE BOARD:

1. Approve and instruct the Mayor of the Board to authorize the Sheriff to finalize and execute a contract with Xerox, substantially similar to the attached revenue-generating Contract, for a Contract term commencing on July 19, 2015 through July 18, 2018, with two (2) additional one-year extension options and one (1) six-month extension option, in any increment, for the continued provision of parking citation processing services.
2. Delegate authority to the Sheriff or his designee to execute, as applicable, Change Orders and Amendments to the Contract, as set forth throughout the Contract, including to: (1) effectuate modifications which do not materially affect any term of the Contract, (2) exercise option term extensions of the Contract, (3) effectuate an assignment of rights and/or delegation of duties pursuant to the Assignment and Delegation provision under the Contract; (4) modify the Contract

to include new or revised standard County contract provisions adopted by the Board as required from time to time, including all applicable documents; and (5) as required by the Department, to increase or decrease the number of field-use computing devices provided by Xerox under the Contract, provided that such increase or decrease does not exceed twenty percent (20%) of the number of field-use computing devices originally required under the Contract.

PURPOSE/JUSTIFICATION OF RECOMMENDED ACTION

Approval of this action will allow Xerox to continue to provide parking citations processing services to the Department. The fees paid to the Contractor for its services will be offset by revenue generated from parking citation fines and penalties that the Contractor will process.

Xerox will be responsible for processing citations, maintaining citations records, sending notices to violators, and establishing a data sharing relationship with the Department of Motor Vehicles to obtain vehicle ownership data. Xerox will also be responsible for collecting all cash and check payments, and depositing those payments with the County.

The services provided by Xerox include enhanced citation payment options which enable violators to make citation penalty payments with credit cards through a website, or using an interactive voice-response telephone system. Xerox will not collect electronic payments or electronic payment data. Xerox will only facilitate the electronic transaction by providing a portal to the County's electronic payment service provider Fidelity Information Services (FIS).

It is also noted that, as the incumbent vendor, Xerox has provided exceptional performance to the Department, with no problems or claims arising from its work activities.

The County's E-Commerce Readiness Group (ERG) has approved the interface with FIS for all electronic payment processing, per FIS agreement. ERG will be providing final system validations and approval prior to the new system launch.

The CIO recommends approval of this Contract. A CIO analysis was provided for the previous agreement in 2010 for parking citation processing services, which is comparable to the new Contract with the exception of the interface with the Automated License Plate recognition (ALPR) System. There are no changes in the rate for processing per-citation, and the rate for special collections from the previous agreement. Payment processing will continue to be performed by the County's online payment processor, Fidelity Information Services (FIS), using an established interface.

Implementation of Strategic Plan Goals

The services provided under this Contract support the County's Strategic Goal No. 1, Operational Effectiveness. Specifically, the proposed Contract will enable the Department to continue processing parking citations in the unincorporated areas of Los Angeles County, and thereby ensure continued revenue to the Department.

FISCAL IMPACT/FINANCING

The County will not incur any Net County Cost during the term of this Contract. Currently, parking citation processing generates approximately \$15 million in gross revenue. After all mandated distributions (such as Collection Fees, Court Fees, Justice Fees, Special Fees, Handicapped Surcharge, and other surcharges) are made, net proceeds of approximately \$12 million per year are distributed to the Department, the issuing agency.

FACTS AND PROVISIONS/LEGAL REQUIREMENTS

Currently, Xerox is providing parking citation processing services to the Department under Agreement Number 77228, which was approved by your Board on January 19, 2010, for a term of three (3) years with two one-year option periods and one six-month period.

The rate for processing per-citation, currently at \$1.38, and the rate for special collections, currently at 30%, will remain the same in the new Contract.

As result of the negotiations, following consultation with the CEO Risk Management Branch, the Department agreed to a modification to the County's standard indemnification provision limiting Xerox's indemnification obligations to claims arising from negligent or wrongful acts or omissions of Xerox as well as minor revisions to the standard insurance provisions. Furthermore, the negotiated Contract provides for reimbursement to Xerox of pro-rated equipment cost in the event of termination by County for convenience during the first three (3) years of the Contract, including for non-appropriation of funds.

Xerox has been notified of, and is in compliance with, all Board and CEO requirements, including Jury Service and the Safely Surrendered Baby Law.

County Counsel has reviewed and approved the Contract as to form.

CONTRACTING PROCESS

On February 26, 2015, the Department released a Request for Proposals (RFP) for Parking Citation Processing Services and sent notification to 4 vendors via United States Mail and/or e-mail. The solicitation was posted on both the County's and

Sheriff's websites. A mandatory proposers' conference was held on March 17, 2015, at which three (3) vendors were in attendance.

On April 7, 2015, the solicitation closed, and the Department received one proposal from the current provider of Parking Citation Processing Services. A five-member evaluation team consisting of technical and subject matter experts from the Department and the County's Internal Services Department (ISD) was assembled to review and assess the fulfillment of the Minimum Mandatory Requirements of the proposal. Upon completion of this assessment, the evaluation team determined that Xerox's proposal fully met all Minimum Mandatory Requirements and fully satisfied the County's business requirements as identified in the RFP.

IMPACT ON CURRENT SERVICES

There will be no negative impact on current Department operations and services.

CONCLUSION

Upon Board approval, please return two adopted copies of this Board letter to the Department's Contracts Unit.

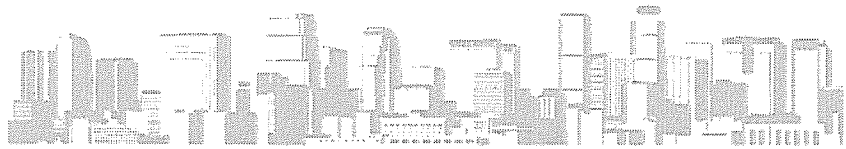
Sincerely,

JIM McDONNELL
SHERIFF

JM:WKS:ws

Enclosures

c: Board of Supervisors, Justice Deputies
Patrick Ogawa, Acting Executive Officer, Board of Supervisors
Sachi A. Hamai, Interim Chief Executive Officer
Brence Culp, Chief Deputy Chief Executive Officer
Sheila Williams, Manager, CEO
Jocelyn Ventilacion, Lead Analyst, CEO
Aileen Yu, Senior Analyst, CEO
Brian Lew, Public Affairs Office
Mark J. Saladino, County Counsel
Michele Jackson, Principal Deputy County Counsel
Elizabeth D. Miller, Chief Legal Advisor, Legal Advisory Unit
Neal B. Tyler, Executive Officer
Richard J. Barrantes, Assistant Sheriff
Terri McDonald, Assistant Sheriff
Todd S. Rogers, Assistant Sheriff
Michael J. Rothans, Assistant Sheriff
Georgia Mattera, Senior Assistant Chief Executive Officer
Glen Dragovich, Division Director, Administrative and Training Division (ATD)
Conrad Meredith, Assistant Division Director, ATD
David L. Fender, Chief, Custody Services Division
Daniel Dyer, Commander, Custody Services Division
Glen Joe, Director, Fiscal Administration
Brian A. Meeder, Lieutenant, COPS Bureau
Susie Cousins, Assistant Director, Fiscal Administration
Edmond Wong, Contracts Manager, Fiscal Administration, Contracts Unit
William Smith, Contracts Analyst, Fiscal Administration, Contracts Unit
Sharon C. Bilbrey, Manager, Parking Enforcement Detail
Chrono File



Los Angeles County Registrar-Recorder/County Clerk

DEAN C. LOGAN
Registrar-Recorder/County Clerk

REGISTRAR-RECORDER/COUNTY CLERK RISK MANAGEMENT OVERVIEW

June 25, 2015

Purpose

The Registrar Recorder/County Clerk (RR/CC) Risk Management Overview was established to present the information included in the fiscal year (FY) 2014-15 Risk Management Plan (RMP). This overview provides the Department's risk issues and the mitigation measures that were developed to address them. The overview also provides information about the associated departmental impact; recommendations provided by the Chief Executive Office's (CEO) Risk Management Service Plan; and major departmental programs and their potential risk issues.

Departmental Risk Exposures

Risk exposure to the Department includes potential bodily injury to employees and patrons at the RR/CC headquarters, district offices, Election Operations Center (EOC) and polling locations. Other risk exposures include property damage, lawsuits related to property recording services, damage to Department-owned/leased vehicles, and automobile accidents. Any exposure related to departmental operations is mitigated through consultation with the CEO Risk Management Branch Loss Prevention and Control Representative, and the application of countywide best practices, methods and processes.

Risk Issues, Trends, Mitigation Measures

The Department continues its efforts in mitigating costs and claims related to Workers' Compensation, general liabilities, and automobile liabilities (see attachment for RMP Statistical Information). The chart below identifies the six risk issues, mitigation measures, and anticipated results addressed in the FY 2014-15 RMP.

RISK MANAGEMENT ISSUE #1

Issue: Per the CEO Risk Management Service Plan, the leading cost driver for the RR/CC is Workers' Compensation Claims. The claims are mostly associated with repetitive motion trauma injuries affecting the upper torso and upper extremities, and slips, trips and falls. Per the departmental Workers' Compensation Claim Data, the RR/CC incurred a total of \$498,000 for claims opened in FY 2013/2014, of which \$365,000 was incurred from the Recorder/County Clerk Bureau.

Risk Management Plan/Mitigation Measure:

- Conducted a Risk Management presentation at the General Staff Meeting addressing prevention of cumulative motion trauma injuries and slips, trips, and falls. The presentation described the Department's cost/frequency drivers, most common injuries, and how to identify and report suspected hazards. The presentation was conducted on October 29, 2014. **(Completed)**
- Implemented a plan for supervisors in the Recorder Bureau to continuously utilize the CEO Ergonomics Training Video. The objective is for supervisors to share with employees identified as not practicing correct ergonomic positioning, or who have expressed discomfort related to repetitive motion tasks. **(Ongoing)**
- Develop an Ergonomics Training tool for Recorder Bureau. The training tool will be customized to address and educate staff of the specific types of injuries (neck pain, back pain, and carpal tunnel) associated with repetitive motion positions. Furthermore, the training shall be required for completion by staff on a periodic basis to encourage a safety culture that will influence attitudes and behaviors related to preventing and mitigating workplace injuries. **(Will be carried over to FY 2015-16)**

Anticipated Results:

- Overall increase of ergonomic awareness
- Training on preventing cumulative trauma injuries, and slips, trips and falls
- Reduction in Workers' Compensation claims filed
- Reduction in costs associated with Workers' Compensation claims
- Training on optimal ergonomic set up for workstations

Anticipated Completion Date: June 30, 2015

RISK MANAGEMENT ISSUE #2

Issue: General liability arising from incidents occurring at polling locations.

<p>Risk Management Plan/Mitigation Measure:</p> <ul style="list-style-type: none"> • Developed a Volunteer Pollworker Safety Training Video. (Completed) • Enhanced the incident reporting process at polling locations to ensure the injury/incident is communicated timely. (Completed) • As an expansion to the safety inspection process conducted at polling locations by Field Representatives, the Department will develop a plan to conduct random visits to polling locations to ensure they are compliant with safety regulations. If necessary, Corrective Action Plans will be developed and implemented to mitigate hazards at polling locations. (Will be carried over to FY 2015-16)
<p>Anticipated Results:</p> <ul style="list-style-type: none"> • Reduction in costs associated with general liability claims • Mitigate bodily injuries and ensure safety at polling locations for members of the public and pollworkers
<p>Anticipated Completion Date: June 30, 2015</p>
<p>RISK MANAGEMENT ISSUE #3</p>
<p>Issue: Liability arising from repetitive motion trauma injuries in public window areas within the Department.</p>
<p>Risk Management Plan/Mitigation Measure:</p> <ul style="list-style-type: none"> • Pilot Program - Work in conjunction with the CEO Risk Management Branch and an ergonomic equipment vendor to construct and implement an ergonomically-fit workstation for use by employees. The demo ergonomic equipment will be assessed in the pilot program for functionality and operability within the sections. (In progress) • Develop an Ergonomics Training tool for public window areas within the Department. The training tool will be customized to address and educate staff of specific types of injuries (neck pain, back pain, and carpal tunnel) associated with repetitive motion positions as well as

<p>educate employees on the ergonomically correct way to conduct business at public counters. Upon implementation, refresher training will be conducted periodically or as needed for new staff. (In progress)</p>
<p>Anticipated Results:</p> <ul style="list-style-type: none"> • Overall increase of ergonomic awareness • Employee satisfaction with comfort level of ergonomically-correct workstations • Reduction in Workers' Compensation claims filed due to cumulative trauma injuries • Reduction in costs associated with Workers' Compensation claims
<p>Anticipated Completion Date: June 30, 2016</p>
<p>RISK MANAGEMENT ISSUE #4</p>
<p>Issue: Exposure in automobile liability from use of departmental/rental vehicles by temporary and permanent employees.</p>
<p>Risk Management Plan/Mitigation Measure:</p> <ul style="list-style-type: none"> • Developed and implemented formal procedures for use of departmental fleet vehicles by employees. (Completed) • Developed procedures to identify permanent and temporary staff with multiple vehicle accidents using fleet or rental vehicles. Establish a threshold and categorize repeat offenders. Furthermore, ensure that repeat offenders are not hired/rehired as drivers. (Completed/Ongoing)
<p>Anticipated Results:</p> <ul style="list-style-type: none"> • Overall increase of driving safety awareness • Efficient controls for assignment and use of fleet vehicles • Reduction of automobile liability claims filed • Reduction in costs associated with automobile liability claims
<p>Anticipated Completion Date: June 30, 2015</p>

RISK MANAGEMENT ISSUE #5

Issue: There is currently no standard procedure in place for control/inventory of ergonomic equipment purchased and coordinated by the Third Party Administrator (TPA).

Risk Management Plan/Mitigation Measure:

- Develop and implement procedures to track and monitor ergonomic equipment purchased by the TPA. Procedures include information regarding the transfer of ergonomic equipment to other County departments, if employee transfers, and release of the equipment to the employee when he/she leaves County service, as applicable. The RTW Coordinator will determine whether the employee has been assigned ergonomic equipment, and take appropriate action to the return the equipment to the requesting section or coordinate release of the equipment to the employee (only if part of the Vocational Rehabilitation Plan). In addition, the TPA must coordinate the shipment of the equipment with the Safety Officer to ensure that the equipment is properly tagged and assigned to the employee. **(Completed)**

Anticipated Results:

- Tighter controls for tracking and monitoring ergonomic equipment
- Reduction in costs associated to Workers' Compensation claims for replacing damaged/broken ergonomic equipment
- Implementation of standard procedures for the transfer of ergonomic equipment to other County departments or release to employee

Anticipated Completion Date: June 30, 2015

RISK MANAGEMENT ISSUE #6

Issue: Employees who have been on Long-Term Leave for over 24 months.

Risk Management Plan/Mitigation Measure:

<ul style="list-style-type: none"> • Implemented an internal reporting procedure to executive management staff listing employees on Long-Term Leave. The report includes the status and plan of action for each employee. (Completed) • Working in conjunction with the Department's assigned CEO RTW Analyst to determine an action plan for Long-Term Leave cases exceeding 24 months. Thus far, the action plans include whether it is anticipated that an employee can be accommodated and return to work, or if the employee is eligible for Disability Retirement (Service-connected Disability Retirement or Nonservice-connected Disability Retirement). (Completed/Ongoing)
<p>Anticipated Results:</p> <ul style="list-style-type: none"> • Assist returning employees to new work assignment • Assist employees who are not able to return to work to pursue available alternative options with the County
<p>Completion Date: March 17, 2015</p>

CEO Risk Management Service Plan Recommendations

As noted in the CEO Risk Management Service Plan dated August 7, 2014, the cost of risk should remain stable for the RR/CC due to its size and emphasis on risk management issues; however, the potential for the Department to incur high-severity claims exist.

The following recommendations were provided to the Department to assist in its efforts to focus on cost drivers specific to the Department and with potential countywide impact:

1. Conduct a hazard analysis of the warehouse to ensure compliance with regulatory requirements such as hazard communication, personal protective equipment, powered industrial truck operation, etc.

Department's Actions:

- The RR/CC currently conducts quarterly safety inspections at the RR/CC's headquarters, district offices, and Election Operations Center to identify and address safety issues and provide recommendations to respective areas.
 - The Department developed and implemented formal reporting procedures for identifying and reporting unsafe conditions and work practices to minimize loss exposures due to bodily injuries.
 - Lastly, an action plan is being developed to execute a hazard analysis of the warehouse to ensure compliance with regulatory requirements such as hazard communication, personal protective equipment, powered industrial truck operation, etc.
2. Implement the recommendations of the countywide Ergonomic Task Force involving Workers' Compensation claims and services provided by the Third Party Administrator (TPA) ergonomic consultants. The recommendations include the development of an ergonomic equipment list and implementation of a procedure and timelines for TPA ergonomic consultants and the department. The CEO Loss Control and Prevention (LCP) Unit offered to assist the department with developing the equipment list, procedures, and timelines.

Department's Action:

- This recommendation has been included in the RR/CC's Risk Management Plan for fiscal year 2014-15.
3. The department should track and regularly monitor employees on work hardening and conditional assignment agreements. A list of names of those employees will be requested from all departments in FY 2014-15 to verify temporary accommodations. The CEO Return-To-Work (RTW) Unit will assist departments in establishing a plan of action to address permanent accommodations or other alternatives.

Department's Action:

- The RR/CC currently tracks and monitors employees on work hardening and conditional assignment agreements. The Department will explore a reporting mechanism as requested by the CEO-RTW Unit.
4. RTW Coordinators should complete the "Return-to-Work 101" training offered by CEO-RTW at least once every two years to remain abreast of current practices in areas related to disability management.

Department's Action:

- Two employees in the Risk Management Section attended and completed the Return-to-Work 101 training in 2014. The two other employees took the training in 2013 and are scheduled to take the training again in 2015.
5. The department should monitor and establish a plan of action for employees on Long-Term Leave.

Department's Actions:

- The Department has implemented an internal procedure to provide a list of employees on Long-Term Leave to executive management. The report includes the status and plan of action for each employee.
 - The Department is also working in conjunction with the assigned CEO-RTW Analyst to determine an action plan for Long-Term Leave cases. Furthermore, the Risk Management Section Head is participating in the CEO countywide long-term leave initiative to return employees to work, or seek alternate options for releasing employees from County service, if necessary.
6. RTW files should be maintained in the recommended structure introduced by CEO-RTW in September 2013.

Department's Action:

- The Department is in compliance with the recommendations of the CEO-RTW Unit.

Overview of Risk Management for Departmental Programs

The RR/CC strives to keep up-to-date on technological advances in an effort to continuously enhance records management and election services to the residents of Los Angeles County. As such, the Department has several critical innovative programs in alignment with countywide strategic goals and the departmental mission. As part of the Department's Risk Management efforts, the following highlights three major programs, the associated risks, and mitigation strategies.

1. Voting Systems Assessment Project (VSAP)

Background

This initiative seeks to modernize the County's aging voting systems infrastructure and improve the voter experience in Los Angeles County. Since its launch in 2009, the project has made great strides towards the design of modernized voting systems. The goal is to design and implement a new ballot marking device, paper ballot, tabulation system and supporting technologies through a participatory model that is research driven and focused on the needs of voters. Furthermore, through this project, the Department seeks to implement voting systems that utilize publicly owned source code and leverage commercial off-the-shelf components to help us reduce reliance on single-source vendors and increase transparency. The VSAP is regarded nationally as a pioneer in pursuing voting system design that is voter-centered and engages stakeholders including citizens, community organizations, academics and other election experts.

The VSAP is currently in the System Engineering Phase. During this phase, the Department seeks to refine the proposed ballot marking device and tabulation system and develop the design, software and engineering specifications for the certification and manufacturing of the systems. Additionally, the department seeks to identify supporting technologies and processes, including tools to support the in-person and vote by mail experiences.

After the completion of detailed engineering specifications, the Department intends to enter a competitive bidding process for the manufacturing of a new ballot marking device and the development of ballot tabulation systems. The project is primarily being funded with a grant from the Help America Vote Act (HAVA), and with funds from the Voting Modernization Bond Act (Proposition 41). This vision is to begin a phased implementation of the ballot marking device in the 2018-2020 election cycle.

Potential Risk Issues

The VSAP will result in the development and implementation of new hardware and software to assist in conducting elections. The project seeks to implement a new ballot marking device, paper ballot and tally system in a limited capacity by the 2018 General Election. This effort represents many potential risks that should be considered.

System Certification

The Secretary of State must test and certify any voting system prior to implementation. Yet, the Secretary of State is in the process of developing its certification program, including establishing voting system guidelines and approving agencies to conduct the tests required for certification. This newly developed certification process combined with the fact that a voting system that was designed and developed by a County has never been through a state or federal certification process presents real risk. Without knowing the details of this new state certification program it is difficult to estimate what the costs and time considerations will be to obtain certification. Furthermore, there is a possibility that after investing resources into the development of a new voting system, state certification may not be granted.

Development Costs

The Department seeks to develop a voting system that best meets the needs of LA County voters. While a ballot marking device model has been designed, the design is still in the process of being refined and detailed engineering specifications are yet to be developed. The actual costs of developing the ballot marking device are to be determined. In addition, the costs of procuring a new tabulation system also remain unknown until the new dimensions of our ballot are defined. These unknown costs may pose potential budgetary risks for the Department.

Implementation

Implementing a new system in such a large County presents logistical risks that require careful attention. Implementing new ballot marking devices in over 4,000 polling places along with a new central tally system will be a complex process. Furthermore, as with all new systems there is the risk of user error as voters and election workers use the system for the first time.

Ownership

To ensure transparency of the new system, the Department seeks to implement a system that uses non-proprietary source code that can be disclosed. It is unknown whether disclosed source presents any risks in licensing or system. Careful attention must be given to ensure that while the system is transparent it remains secure.

Mitigating Measures

These risks can be mitigated throughout the design, development, and implementation process. First, the Department will remain engaged with the Secretary of State's Office as the State certification program and the voting system guidelines continue to be developed. This will allow the Department to provide input and remain informed of the latest developments of the program. Development costs to the County will be mitigated by utilizing Voting Modernization Bond Act and HAVA funds for the development and implementation of the new voting system. Furthermore, using existing commercial off-the-shelf technologies in the development of a new voting system can reduce some of the development and production costs. Risks associated with full voting system implementation in 2020 can be mitigated with a phased implementation approach. This phased approach may begin with soft-

launch or pilot during the 2018 General Election. Exploring alternative models such as vote centers can further mitigate implementation risks. In addition, an aggressive and comprehensive voter education and pollworker training campaign will mitigate the risks of user error. Finally, any potential risks with disclosed source code software can be mitigated by working with the County Chief Information Officer and County Counsel to ensure transparency with proper security. In addition, the non-proprietary source code approach will allow the County to reduce maintenance costs as no single vendor owns the software and the Department can contract for the maintenance using an open bid process or internal department staff can be trained to maintain the system.

2. Statewide Electronic Courier Universal Recording Environment (SECURE) - eRecording System Project

Background

The SECURE eRecording System provides the ability for electronic recording of real estate documents in Los Angeles County as well as other Owner and Participant counties. It was purchased by the four (4) Owner counties under a Multi-County Agreement and approved by the Board of Supervisors on November 12, 2008.

In assuming the lead application programming role for this multi-county Statewide initiative, in partnership with Orange, Riverside and San Diego Counties, the Department released a new version of SECURE in 2014. The Department has a key role in the ongoing development and deployment of this innovative, user-friendly, and cost-effective software solution. The first of its kind to be implemented in the United States, the SECURE system provides a convenient, centralized submission point for Business to Government and Government to Government entities doing business with ten California County Recorders.

Potential Risk Issues

The project's main risk for the RR/CC is taking on the development and maintenance of a system currently being used by multiple California counties to transmit and record sensitive property documents. As such, the RR/CC must ensure specialized staffing is on-hand and retained to perform the contracted tasks related to the SECURE project. Additionally, the RR/CC must ensure succession planning takes place in the event that pertinent employees leave the Department.

Mitigating Measures

Resource risks are mitigated for the RR/CC by the fact that system and network support has been offloaded to lead partner, Orange County, which has the SECURE software and hardware housed in their own data center.

To alleviate support workloads for the RR/CC, Orange County was made responsible for primary system support referred to as, "Level I, first level support" while the RR/CC is only responsible for "Level II, secondary level support" performed on requests directed through Orange County. As a result, RR/CC will not be required to support day to day operations of the system, freeing up resources to focus on development tasks.

In the event an issue occurs with any subsequent version maintained by the RR/CC, any of the seven counties will be able to revert back to previously used manual processes. Interruption to providing services to the public should be minimal.

3. Records Management & Archives

Background

In April of 2013, the Board of Supervisors approved the transfer of the County's records management and archive program from the Chief Executive Office to the Registrar-Recorder/County Clerk (RR/CC). The responsibility of creating a countywide records management and archives program for the entire County workforce of just under 100,000 employees spanning across 35 singular departments is a tremendous task that addresses all records regardless of medium, while satisfying its original purpose in the management of physical records.

To accommodate this new responsibility, the Department created a Records Management & Archives (RMA) section to addresses all records regardless of medium created and stored in the course of performing official County business. The RMA's first priority was to modernize and revitalize the County's record retention schedules and prepare them for Board approval and County-wide adoption. To supplement the new schedules, RMA drafted proposed revisions to current records management Board policies which include updates designed to provide each department with a more modern approach to effectively renovating its record keeping practices. Additionally, the foundation of a County archives program has been developed with the goal of identifying and preserving records and artifacts of enduring value.

Potential Risk Issues

Rapid Advances in Information Technology

Information management is the foundation of every business transaction that occurs within the County's 35 departments. With records being created by each County employee using multiple technologies, the priority is proper governance of records created or residing in new technology
Proper Storage of Archives Records

The County currently does not have an archives policy or an established set of preservation requirements that specifically addresses the ongoing deterioration of unattended historical County material.

Creating a Scalable Program

The RMA program understands that there are a multitude of business needs in the County. The records management program must be able to create policies and procedures that provide departments with the ability to comply with record retention periods yet have some flexibility in how they achieve that result. Maintaining a balance in the development of the program's governance structure and its relationship with Departments will be an important consideration to ensure success throughout the County.

Records Management Training

The success of a strong records management and archives program relies on the knowledge acquisition of basic principles. A necessary outcome of the program is that every County employee will be able to identify a record and handle it appropriately. Due to the size of our organization, training will need to be structured to be convenient and practical. Also, the training will require a heavy emphasis on change management. Some challenges that the RMA will need to confront is ensuring that learning outcomes translate into action, that appropriate staff receives adequate training, and that content remains relevant with changes in how information is governed in a digital age.

Mitigating Measures

As the nature of records has changed, the RMA team collaborates often with the CEO, CIO and ISD to stay in touch with the ever changing world of information governance. This has led us to examine the definition of a record, the systems that store them, and how records are created in a world that is becoming more reliant on mobile technology. To ensure that we stay up-to-date with the new trends in records management, the program managers are active members of ARMA International (Association of Records Managers and Administrators) and several other professional records and information management associations. Also, with the guidance and collaboration of CEO, CIO, ISD, and other departments, we've explored electronic solutions that complement and/or leverage our existing ISD Documentum infrastructure.

In the absence of a dedicated records and archives center, the RMA has opted to utilize a non-centralized records management approach. This approach requires that County departments be responsible for their own records and archives. To facilitate this approach, record coordinators have been identified Countywide to help distribute key information regarding retention schedules, policies, and general communications. This infrastructure will help the program communicate necessary guidance to each department. In addition, an Intranet website has been developed to share records management resources across County departments.

To address the needs of training, the RMA team supports the notion that the education of County employees will be the determining factor in the success of the program. To begin the foundations of a comprehensive training in records and information management, the program has gathered a wealth of educational resources from previously contracted consultants, local jurisdictions, and professional associations. The team is constantly engaged in extensive training to become the County's experts in records management and archives. This knowledge acquisition will be pivotal in the development of the training curriculum for the County at large.

Statistical Information (** data to be provided when available)

Claim Performance (data provided by CEO; see footnotes)				
Measure	FY 2011-12	FY 2012-13	FY 2013-14	3-Year Average
WORKERS' COMPENSATION				
1. Number of Workers' Compensation claims filed during the period	59	66	80	68.3
2. Number of employees as of June 30	1,439	901	1,131	1,157.0
3. Workers' Compensation Claim Report Rate (number of claims reported per 100 employees) for the period	4.10	7.33	7.07	5.91
Benchmark: Countywide Average Workers' Compensation Claim Report Rate (all departments)	11.19	11.40	11.31	11.30
Benchmark: Countywide Average Workers' Compensation Claim Report Rate (all departments, excluding Fire, Probation, Sheriff)	6.83	6.86	6.62	6.77
Benchmark: Countywide Average Workers' Compensation Claim Report Rate (only Fire, Probation, and Sheriff)	22.78	23.46	24.01	23.42
4. Workers' Compensation expense paid during the period (including final accounting of allocated and unallocated expenses)	\$2,584,556	\$2,124,794	\$2,326,406	\$2,345,252
5. Workers' Compensation Expense Rate (expenses paid per current employee) for the period	\$1,796	\$2,358	\$2,057	\$2,070
Benchmark: Countywide Average Workers' Compensation Expense Rate (all departments)	\$3,505	\$3,633	\$3,535	\$3,569
Benchmark: Countywide Average Workers' Compensation Expense Rate (all departments, excluding Fire, Probation, Sheriff)	\$2,258	\$2,273	\$2,164	\$2,266
Benchmark: Countywide Average Workers' Compensation Expense Rate (only Fire, Probation, and Sheriff)	\$6,822	\$7,241	\$7,247	\$7,032
6. Salary Continuation and Labor Code 4850 paid during the period (100%IA, 70%IA, MegaIA)	\$98,586	\$141,442	\$121,145	\$120,391
AUTOMOBILE LIABILITY				
7. Number of Automobile Liability claims filed during the period	0	4	2	2.0
8. Automobile Liability indemnity (OC) paid during the period	\$0	\$2,589	\$903	\$1,164
9. Automobile Liability legal fees and costs (SS) paid during the period	\$0	\$50	\$0	\$17
GENERAL LIABILITY				
10. Number of General Liability claims filed during the period	9	22	23	18.0
11. General Liability indemnity (OC) paid during the period	\$1,527	\$11,476	\$270	\$4,424
12. General Liability legal fees and costs (SS) paid during the period	\$191,455	\$254,195	\$267,754	\$237,801

REGISTRAR-RECORDER/COUNTY CLERK

MEDICAL MALPRACTICE - Not Applicable to the RR/CC				
13. Number of Medical Malpractice claims filed during the period	0	0	0	0.0
14. Medical Malpractice indemnity (OC) paid during the period	\$0	\$0	\$0	\$0
15. Medical Malpractice legal fees and costs (SS) paid during the period	\$0	\$0	\$0	\$0
TOTAL CLAIMS AND EXPENSE				
16. Total number of claims filed during the period	68	92	105	88.3
17. Total expenses paid during the period	\$2,876,124	\$2,534,546	\$2,716,478	\$2,709,049
18. Department operating budget	\$160,781,000	\$145,459,000	\$155,040,000	\$153,760,000
19. Cost of Risk (% total expenses paid / operating budget)	1.79%	1.74%	1.75%	1.76%
Benchmark: Countywide Cost of Risk	2.21%	2.19%	2.15%	2.20%

- All workers' compensation loss information is available on the CEO Risk Management Branch Risk Management Plan intranet site.
- The number of employees is the sum of currently filled full-time and part-time positions (see monthly payroll report).
- The number of liability claims is the total of all claims (including all suffixes) entered into the Risk Management Information System (RMIS) during the fiscal year (see monthly Cognos report).
- Total paid for liability is based on transaction dates within each fiscal year as listed in RMIS (see monthly Cognos report).

Vehicle and Fleet Safety Performance (data maintained at the department level)				
Measure	FY 2011-12	FY 2012-13	FY 2013-14	3-Year Average
DEPARTMENT-OWNED VEHICLES				
20. Number of Department-owned vehicles as of June 30	54	53	50	52.3
21. Total number of vehicle accidents involving Department-owned (or leased) vehicles - <i>The Department also uses rental vehicles on a short-term basis for election operations. Please see sidebar note for rental vehicle data.</i>	5	3	8	5.3
22. Total cost paid for damage involving Department-owned (or leased) vehicles (not including third party claim/damage cost) - <i>The Department also uses rental vehicles on a short-term basis for election operations. Please see sidebar note for rental vehicle data.</i>	\$21,491	\$3,249	\$3,589	\$9,443
23. Number of miles driven by Department-owned (or leased) vehicles - <i>The Department does not track mileage on leased/rented vehicles.</i>	201,154	190,369	178,110	189,877.7
24. Number of vehicle accidents involving Department-owned (or leased) vehicles per 100,000 miles - <i>The Department does not track mileage on leased/rented vehicles.</i>	2.49	1.58	4.49	2.85
Benchmark: Countywide	1.78	1.45	***	1.62

NOTE: Number of rental vehicle accidents for FY 13/14 is 17.

NOTE: Total cost paid for damage involving rental vehicles (not including third party claim/damage cost) for FY 13/14 is \$173.

REGISTRAR-RECORDER/COUNTY CLERK

PERMITTEE DRIVERS				
25. Number of Department permittee drivers as of June 30	0	0	0	0.0
26. Total number of vehicle accidents involving permittee drivers	0	0	0	0.0
27. Total cost paid for damage involving vehicles driven by permittee drivers (not including third party claim/damage cost)	\$0	\$0	\$0	\$0
28. Number of permittee miles driven during period	0	0	0	0.0
29. Number of vehicle accidents involving permittee drivers per 100,000 miles	0.00	0.00	0.00	0.00
Benchmark: Countywide	2.02	1.70	***	1.86
Return-to-Work Performance (industrial and non-industrial) (data maintained at the department level)				
Measure	FY 2011-12	FY 2012-13	FY 2013-14	3-Year Average
30. Number of active return-to-work cases as of June 30	160	120	175	151.7
31. Number of employees off work due to medical leave for own injury/illness (excluding pregnancy) as of June 30	0	29	33	20.7
32. Number of employees on work hardening transitional assignment agreements as of June 30	51	25	36	37.3
33. Number of employees on conditional assignment agreements as of June 30	8	7	21	12.0
34. Number of return-to-work cases closed in the prior year - <i>FMLA, Work Hardening and Conditional Assignment Agreements were not included in RMP's for FY 2011-12 or FY 2012-13.</i>	72	62	160	98.0
Short Term Disability (data provided from Sedgwick except for #41 which is from payroll)				
Measure	FY 2011-12	FY 2012-13	FY 2013-14	3-Year Average
35. Number of active claims as of June 30	2	0	3	1.7
36. Number of closed claims reaching maximum benefit duration during the fiscal year	0	0	0	0.0
37. Number of claims converted to LTD during the fiscal year	0	0	0	0.0
38. Number of new claims during the fiscal year	4	5	9	6.0
39. Number of lost workdays paid under STD during the fiscal year	181	275	301	252.3
40. Number of lost calendar days, including elimination period, for closed claims	259	510	249	339.3
41. Total payments for all STD claims paid during the fiscal year	\$19,867	\$61,613	\$83,758	\$55,079
42. Number of paid lost workdays for closed claims	170	324	146	213.3

REGISTRAR-RECORDER/COUNTY CLERK

Long Term Disability (data provided from Sedgwick)				
Measure	FY 2011-12	FY 2012-13	FY 2013-14	3-Year Average
43. Number of active claims as of June 30	11	11	16	12.7
44. Number of claims opened during the fiscal year	5	9	12	8.7
45. Total payments for all claims paid during the fiscal year	\$118,231	\$101,159	\$222,736	\$147,375
46. Total payments to date on LTD claims closed during the fiscal year	\$97,740	\$281,363	\$38,071	\$139,058
47. Number of claims approved for "AnyOcc" (Any Occupation) until age 65	6	4	6	5